

03-30-00

**UTILITY PATENT APPLICATION TRANSMITTAL  
(Small Entity)***(Only for new nonprovisional applications under 37 CFR 1.53(b))*Docket No.  
1525C/107Total Pages in this Submission  
80**TO THE ASSISTANT COMMISSIONER FOR PATENTS****Box Patent Application  
Washington, D.C. 20231**

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**SYSTEM AND METHOD FOR FACILITATING BILATERAL AND MULTILATERAL DECISION-MAKING**

and invented by:

**Eileen C. Shapiro  
Steven J. Mintz****If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:**☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1. ☐ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 57 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☒ Cross References to Related Applications *(if applicable)*
  - c. ☐ Statement Regarding Federally-sponsored Research/Development *(if applicable)*
  - d. ☐ Reference to Microfiche Appendix *(if applicable)*
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings *(if drawings filed)*
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

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## Application Elements (Continued)

3. ☒ Drawing(s) (when necessary as prescribed by 35 USC 113)
- a. ☐ Formal      b. ☒ Informal      Number of Sheets 8
4. ☒ Oath or Declaration
- a. ☐ Newly executed (original or copy)      ☒ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- c. ☒ With Power of Attorney      ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☐ Genetic Sequence Submission (if applicable, all must be included)
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

## Accompanying Application Parts

8. ☐ Assignment Papers (cover sheet & documents)
9. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement/PTO-1449      ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
- ☐ First Class      ☒ Express Mail (Specify Label No.): EL361 717 040US

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## Accompanying Application Parts (Continued)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Small Entity Statement(s) - Specify Number of Statements Submitted: \_\_\_\_\_
17. ☒ Additional Enclosures (please identify below):

Table 1 - 2 pages	Table 4 - 1 page	TOTAL PAGES OF TABLES: 8 pages
Table 2 - 1 page	Table 5 - 1 page	
Table 3 - 2 pages	Table 6 - 1 page	

## Fee Calculation and Transmittal

### CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	29	- 20 =	9	x \$9.00	\$81.00
Indep. Claims	7	- 3 =	4	x \$39.00	\$156.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$345.00
OTHER FEE (specify purpose) _____					\$0.00
TOTAL FILING FEE					\$582.00

- ☐ A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.
- ☐ The Commissioner is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_ as filing fee.
  - ☐ Credit any overpayment.
  - ☐ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
  - ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: March 29, 2000

  
Signature

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03/29/00

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Shapiro et al.

Docket No.

1525C/107

Serial No.

not yet assigned

Filing Date

herewith

Examiner

not yet assigned

Group Art Unit

not yet assigned

Invention:

SYSTEM AND METHOD FOR FACILITATING BILATERAL AND MULTILATERAL DECISION-MAKING

jc530 U.S. PTO  
09/530556

03/29/00

I hereby certify that this Utility Patent Application and Enclosures Referred to Herein

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on March 29, 2000

(Date)

Keith J. Wood

(Typed or Printed Name of Person Mailing Correspondence)

Keith J. Wood

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Table 1

header:

for the college applicant: [All other things being equal ...] of colleges with these two characteristics, I would prefer the one/I think I would do better at the one that ... [is characterized by option A/is characterized by option B]

for the college seeking applicants: [All other things being equal ...] of people with these two preferences, those who do best in this college are those that ... [prefer option A/prefer option B]

- |   |  |
|---|--|
| • <i>campus environment</i><br>in a city, no real campus  | campus environment with central classrooms and administrative offices                |
| • <i>learning environment ...</i><br>highly structured curriculum                                     | few or no distribution requirements; students are able to construct their own majors |
| • <i>average class size</i><br>most classes are lecture format/<br>large audience                     | most classes are small/<br>permit discussion   |
| • <i>living arrangements ...</i><br>most people go home nights<br>/weekends                           | most people live in dorms on campus  |
| • <i>importance of grades...</i><br>the students are competitive and<br>focus on getting goods grades | grades are only one measure<br>of success  |
| • <i>importance of academics...</i><br>students are here to learn                                     | learning is only one measure of<br>successful campus life                            |

00622ED 958E560

*time spent studying*  
students often spend 40 hours  
per week between class and studying

students spend 20 hours per week  
between class and studying

- *social activities ...*  
social life is an important part  
college experience

social life is a small part of the of the  
college experience

- *structure of social activities*  
most of the social activities are  
organized around fraternities  
and sororities

fraternities and sororities are  
relatively unimportant in  
campus life

- *importance of sports ...*  
sports is a large part of  
school life

sports teams are not a major focus  
of campus life

- *importance of religion ...*  
religion is a centerpiece of  
college life

religion is a private matter

- *weather ...*  
the weather is temperate year round

there are extremes of hot or cold

- *proximity to major city ...*  
can reach major city in  
one hour driving

in suburban rural environment with  
limited access to major city

- *teachers ...*  
teaching assistants handle  
a high proportion of the lectures,  
grading and counseling

professors handle most  
of the lectures, grading  
and counseling

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## Table 2

header:

for the mutual fund purchaser: [All other things being equal ...] of mutual funds with these two characteristics, I would prefer the one... [is characterized by option A/ is characterized by option B]

for the mutual fund seeking investors: [All other things being equal ...] of people with these two preferences, those who tend to be happiest/most satisfied with this fund are those... [who prefer option A/ who prefer option B]

- |  |  |
|--|--|
| <ul style="list-style-type: none"> <li>• <i>fund managers</i><br/>in place for the last 3 years</li> </ul>   | <p>doesn't matter how long managers in place</p>   |
| <ul style="list-style-type: none"> <li>• <i>returns over time ...</i><br/>high level of returns with commensurate high risk (high beta)</li> </ul>       | <p>lower returns with commensurate lower risk (low beta)</p>                             |
| <ul style="list-style-type: none"> <li>• <i>investing style...</i><br/>investments made on momentum or other technical indicators</li> </ul>             | <p>investments made on the fundamentals of stocks and/or sectors</p>                     |
| <ul style="list-style-type: none"> <li>• <i>breadth</i><br/>fund buys opportunities across the market irrespective of sector</li> </ul>                  | <p>fund focuses on single sector</p>   |
| <ul style="list-style-type: none"> <li>• <i>volatility...</i><br/>difference between funds highs is greater than 10pp in one year</li> </ul>             | <p>Difference between funds highs are less than 10pp in one year</p>                     |
| <ul style="list-style-type: none"> <li>• <i>upfront fees</i><br/>load funds with all your expenses up front</li> </ul>                                   | <p>no load funds, with some transaction costs when selling</p>                           |
| <ul style="list-style-type: none"> <li>• <i>taxable returns</i><br/>most of fund's portfolio is in taxable investments but returns are higher</li> </ul> | <p>most of fund's investments are tax free but returns are lower</p>                     |
| <ul style="list-style-type: none"> <li>• <i>buy and hold...</i><br/>frequent trading (high turnover ratio)</li> </ul>                                    | <p>typically buys and holds for relatively long periods of time (low turnover ratio)</p> |

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- amount of time people are expected to spend socializing with work team ...*  
not much; ability to keep work and personal separate as desired      significant amount of time expected off hours with work colleagues
- expectation of participation in company-sponsored athletic teams ...*  
no expectation; can do/play as wish      participation is expected (and monitored)
- expectation of participation in company-sponsored community events ...*  
no expectation; can do/participation as wish      participation is expected (and monitored)
- expectations around consensus building ...*  
building consensus comes first, even if time consuming      expected to fix the problem, even if some damage to consensus occurs

alternate formulation:  
high premium on gaining consensus      high premium on quick/strong resolutions of problems
- key performance measure is to ...*  
maximize for many things including financial returns      maximize financial returns almost exclusively
- recognition/power is mostly on the basis of ...*  
one's position      one's expertise
- the structure and process for getting resources is ...*  
mostly clearly defined      somewhat amorphous
- the nature of resources available and control over getting these resources ...*  
lots of resources available, but indirect and incomplete control      limited resources available, but under direct and complete control
- the amount of prestige associated with working with this company*  
very high, most people associate high prestige with this company      quite low, most people don't associate much prestige with this company

Table 4

MS Acq.exe

Type the number next to your choice, assuming everything else to be equal.

1 DECISIONS: Building consensus is priority, even if time-consuming

2 DECISIONS: Fix problems is 1st, even if consensus damage occurs

Type number      ESC to back up      CTRL END to quit

00622E0" 9558E560

Table 5

```

Option A IS BETTER for you than Option B. Assuming that everything
else is equal how much better do you feel Option A is?

Type a number from the 1 to 4 scale below.

A: DECISIONS: Fix problems is 1st, even if consensus damage occurs

versus

B: DECISIONS: Building consensus is priority, even if time-consuming

4 = I MUST HAVE Option A; Option B would be extremely unsatisfactory.
3 = I GREATLY PREFER Option A over Option B.
2 = I MODERATELY PREFER Option A over Option B.
1 = I JUST SLIGHTLY PREFER Option A over Option B.

Type number          ESC to back up          CTRL END to quit

```

000000-000000

Table 6

Acq.exe

COMPARE JOB "A" TO JOB "B" AND THEN TYPE A NUMBER FROM THE "1" TO "9"  
SCALE SHOWN AT THE BOTTOM OF THE SCREEN TO INDICATE YOUR PREFERENCE.  
(Assume the jobs/suppliers are the same on all other attributes.)

JOB "A"		JOB "B"
DECISIONS: Building consensus is priority, even if time-consuming	OR	DECISIONS: Fix problems is 1st, even if consensus damage occurs
PERIODIC GEOGRAPHIC MOVES: Highly unlikely		PERIODIC GEOGRAPHIC MOVES: Highly likely

Strongly Prefer "A" 1 2 3 4 5 6 7 8 9 Strongly Prefer "B"

!Like Both!  
! Equally !

Type number ESC to back up CTRL END to quit

005220" 9958E560